



ATTORNEY DOCKET NO.: 2003080-0054

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Danishefsky *et al.*  
Serial No.:\* 09/641,742  
Filed: August 18, 2000  
For: *Novel Glycoconjugates, Glycoamino Acids, Intermediates Thereto, and Uses Thereof*

#8  
pg  
5, 8, 11

**VERIFIED STATEMENT (DECLARATION)**  
**CLAIMING SMALL ENTITY STATUS**  
**37 CFR 1.9(f) and 1.27(d)**  
**NON-PROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the non-profit organization identified below:

NAME OF ORGANIZATION: Sloan-Kettering Institute for Cancer Research  
ADDRESS OF ORGANIZATION: 1275 York Avenue  
New York, NY 10021

TYPE OF ORGANIZATION:

- ☐ University or other organization of higher education
- ☐ Non-profit scientific or educational organization under a statute of a state of the United States of America  
NAME OF STATE: \_\_\_\_\_  
CITATION OF STATUTE: \_\_\_\_\_
- ☐ Would qualify as tax exempt under the Internal Revenue Service Code (26 USC § 501(a) and § 501(c) (3) if the organization were located in the United States of America
- ☒ Tax exempt under the Internal Revenue Service Code (26 USC § 501(a) and § 501(c) (3).
- ☐ Would qualify as a non-profit scientific or educational organization under a statute of a state of the United States of America  
NAME OF STATE: \_\_\_\_\_  
CITATION OF STATUTE: \_\_\_\_\_

I hereby declare that the above-identified non-profit organization qualifies as a non-profit organization as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code.

I hereby declare that rights under contract or law have been conveyed to and remain with the above-identified non-profit organization with regard to the invention titled:

TITLE: Novel Glycoconjugates, Glycoamino Acids, Intermediates Thereto, and Uses Thereof

by:

INVENTORS: Samuel J. Danishefsky, Jennifer R. Allen, Govindaswami Ragupathi and Philip O. Livingston

described in:

☐ the specification filed herewith

☒ U.S. Patent Application Serial Number\* 09/641,742  
filed August 18, 2000

☐ U.S. Patent Number \_\_\_\_\_  
issued \_\_\_\_\_

If the rights of the above-identified non-profit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor(s), who could not qualify as a small business concern under 37 CFR § 1.9(d) or a non-profit organization under 37 CFR § 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention, averring to their status as small entities. (37 CFR § 1.27).

FULL NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NON-PROFIT ORGANIZATION

FULL NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NON-PROFIT ORGANIZATION

FULL NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NON-PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: James S. Quirk  
TITLE IN ORGANIZATION: Senior Vice President-Research Resources Management  
ADDRESS OF PERSON SIGNING: Sloan-Kettering Institute for Cancer Research  
1275 York Avenue  
New York, NY 10021

SIGNATURE:  DATE: 9/18/00

\* I authorize Choate, Hall & Stewart to fill in the serial number, if necessary.

3158757



#3  
2003080-0054  
SK-893-US

## DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

### NOVEL GLYCOCONJUGATES, GLYCOAMINO ACIDS, INTERMEDIATES THERETO, AND USES THEREOF

the specification of which (I authorize Choate, Hall & Stewart to check one of the following three choices, and fill in the blanks, if applicable):

\_\_\_\_\_ is attached hereto

X was filed on August 18, 2000 as Application Serial No. 09/641,742 and amended on \_\_\_\_\_ (if applicable).

\_\_\_\_\_ was filed as PCT international application No. \_\_\_\_\_, on \_\_\_\_\_ and was amended under PCT Article 19 on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledged the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Priority Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year/Filed)	_____ Yes	_____ No
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_____ (Number)	_____ (Country)	_____ (Day/Month/Year/Filed)	_____ Yes	_____ No
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(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)	(filing date)	(status-patented, pending, abandoned)

(Application Serial No.)	(filing date)	(status-patented, pending, abandoned)

PCT Applications designating the United States:

(PCT Appl. No.)	(U.S.S.N.)	(status-patented, pending, abandoned)

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national filing date of this application.

Provisional Application(s):

60/150,088	August 20, 2000	pending
(Application Serial No.)	(filing date)	(status)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United State Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full name of first inventor Samuel J. Danishefsky

Inventor's signature Samuel Danishefsky Date: 11/24/00

Residence 22 Brayton Street, Englewood, New Jersey 07631

Citizenship U.S.

Post Office Address same

Full name of second inventor Jennifer R. Allen

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 5886 North Delaware Street, Indianapolis, Indiana 46220

Citizenship U.S.

Post Office Address same

Full name of third inventor Govindaswami Ragupathi

Inventor's signature Ragupathi Date: 12/4/00

Residence 303 East 60th Street, Apt. 35G, New York, New York 10022

Citizenship India

Post Office Address same

Full name of fourth inventor Philip O. Livingston

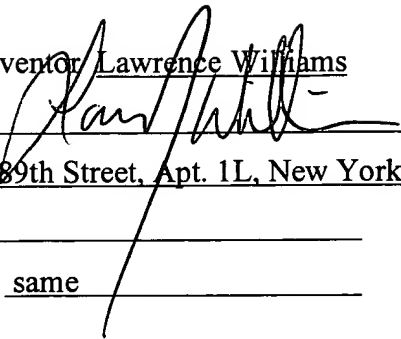
Inventor's signature Philip Livingston Date: 12/14/00

Residence 156 East 79<sup>th</sup> Street, New York, New York 10021

Citizenship U.S.

Post Office Address same

Full name of fifth inventor Lawrence Williams

Inventor's signature  Date: 11.13.00

Residence 401 East 89th Street, Apt. 1L, New York, New York 10021

Citizenship U.S.

Post Office Address same

\* I authorize Choate, Hall & Stewart to fill in the serial number, if necessary.

3158767



2003080-0054  
SK-893-US

## DECLARATION

As a below named inventor, I hereby declare that:

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the specification of which (I authorize Choate, Hall & Stewart to check one of the following three choices, and fill in the blanks, if applicable):

\_\_\_\_\_ is attached hereto

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\_\_\_\_\_ was filed as PCT international application No. \_\_\_\_\_, on \_\_\_\_\_ and was amended under PCT Article 19 on \_\_\_\_\_ (if applicable).

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Prior Foreign Application(s):

Priority Claimed

(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
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(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
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_____ (Number)	_____ (Country)	_____ (Day/Month/Year/Filed)	Yes   No
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PCT Applications designating the United States:

_____ (PCT Appl. No.)	_____ (U.S.S.N.)	_____ (status-patented, pending, abandoned)
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Provisional Application(s):

<u>60/150,088</u> (Application Serial No.)	<u>August 20, 2000</u> (filing date)	<u>pending</u> (status)
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United State Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full name of first inventor Samuel J. Danishefsky

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 22 Brayton Street, Englewood, New Jersey 07631

Citizenship U.S.

Post Office Address same

Full name of second inventor Jennifer R. Allen

Inventor's signature  Date: 11-15-2000

Residence 5886 North Delaware Street, Indianapolis, Indiana 46220

Citizenship U.S.

Post Office Address same

Full name of third inventor Govindaswami Ragupathi

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 303 East 60th Street, Apt. 35G, New York, New York 10022

Citizenship India

Post Office Address same

Full name of fourth inventor Philip O. Livingston

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 156 East 79<sup>th</sup> Street, New York, New York 10021

Citizenship U.S.

Post Office Address same

Full name of fifth inventor Lawrence Williams

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 401 East 89th Street, Apt. 1L, New York, New York 10021

Citizenship U.S.

Post Office Address same

\* I authorize Choate, Hall & Stewart to fill in the serial number, if necessary.

3158767



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Danishefsky *et al.*  
Serial No.:\* 09/641,742  
Filed: August 18, 2000  
For: *Novel Glycoconjugates, Glycoamino Acids, Intermediates Thereto, and Uses Thereof*

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

APPOINTMENT OF ATTORNEY

The undersigned hereby appoints Karoline K.M. Shair, Registration No. 44,332; Brenda Herschbach Jarrell, Registration No. 39,223; Sam Pasternack, Registration No. 29,576; Kevin M. Tormey, Registration No. 41,351; Elizabeth Nugent, Registration No. 43,839; Valarie B. Rosen, Registration No. 45,698; Stanley C. Mah, Registration No. 46,189; Anne-Marie Dinius, Registration No. 45,592; Hunter C. Baker, Registration No. P-46,533 and Monica Gerber, Registration No. P-46,724; as its attorneys and agents for prosecution of matters relating to the above-identified patent application and to conduct all business in the United States Patent and Trademark Office.

All correspondence should be sent to Karoline K.M. Shair, Choate, Hall & Stewart, Exchange Place, 53 State Street, Boston, Massachusetts 02109.

Respectfully submitted,

Name: James S. Quirk

Title: Senior Vice President, Research Resources Management  
On behalf of Sloan-Kettering Institute for Cancer Research

Dated:

\* I authorize Choate, Hall & Stewart to fill in the serial number, if necessary.  
3158766

## ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned **Samuel J. Danishefsky, Jennifer R. Allen, Govindaswami Ragupathi, Philip O. Livingston and Lawrence Williams**, hereby

Sell, assign and transfer to **SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH** having a place of business at **1275 York Avenue, New York, New York 10021**, its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed August 18, 2000, Serial No. 09/641,742, entitled "**NOVEL GLYCONJUGATES, GLYCOAMINO ACIDS, INTERMEDIATES THERETO, AND USES THEREOF**" and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

Agree that said ASSIGNEE may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said ASSIGNEE, agree to carry out in good faith the intent and purpose of this assignment by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said ASSIGNEE all facts known to us relating to said inventions and the history thereof, and generally by doing everything possible which said ASSIGNEE shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said ASSIGNEE.

Hereby request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said ASSIGNEE.

Covenant with said ASSIGNEE that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us, and that full right to convey the same as herein expressed is possessed by us.

IN WITNESS WHEREOF, this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

\_\_\_\_\_  
**Samuel J. Danishefsky**

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

IN WITNESS WHEREOF, this 15 day of November, 2000.

*JR Allen*  
**Jennifer R. Allen**

11/15/2000  
Date

*Christopher Galt*  
Witness

*Lilly Corporate Center*  
*Indianapolis, IN 46285*  
Address

*James J. Phillips*  
Witness

*Lilly Corp. Center*  
*Indianapolis, IN 46285*  
Address

11-15-2000  
Date

IN WITNESS WHEREOF, this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

\_\_\_\_\_  
**Govindaswami Ragupathi**

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

IN WITNESS WHEREOF, this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

\_\_\_\_\_  
**Philip O. Livingston**

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

IN WITNESS WHEREOF, this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

\_\_\_\_\_  
**Lawrence Williams**

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

\* I authorize Choate, Hall & Stewart to fill in the serial number, if necessary.

3158776



## ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned **Samuel J. Danishefsky, Jennifer R. Allen, Govindaswami Ragupathi, Philip O. Livingston and Lawrence Williams**, hereby

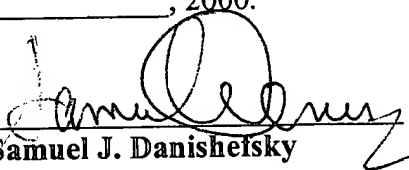
Sell, assign and transfer to **SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH** having a place of business at **1275 York Avenue, New York, New York 10021**, its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed August 18, 2000, Serial No. 09/641,742, entitled "**NOVEL GLYCONJUGATES, GLYCOAMINO ACIDS, INTERMEDIATES THERETO, AND USES THEREOF**" and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

Agree that said ASSIGNEE may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said ASSIGNEE, agree to carry out in good faith the intent and purpose of this assignment by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said ASSIGNEE all facts known to us relating to said inventions and the history thereof, and generally by doing everything possible which said ASSIGNEE shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said ASSIGNEE.

Hereby request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said ASSIGNEE.

Covenant with said ASSIGNEE that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us, and that full right to convey the same as herein expressed is possessed by us.

IN WITNESS WHEREOF, this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

  
Samuel J. Danishefsky

Samuel Echok  
Witness

11/29/00  
Date

510 E 82nd  
NY C 10028  
Address

[Signature]  
Witness

11/29/00  
Date

623 West End Ave #3B  
NY NY 10024  
Address

IN WITNESS WHEREOF, this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

\_\_\_\_\_  
Jennifer R. Allen

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Address

IN WITNESS WHEREOF, this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

Govindaswami Ragupathi  
Govindaswami Ragupathi

Scampbell Echols  
Witness  
510 E. 82nd St  
NYC 10028  
Address

12/4/00  
Date

lylcel  
Witness  
623 West End Ave #3B  
NY NY 10024  
Address

12/4/00  
Date

IN WITNESS WHEREOF, this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

Philip Livingston  
Philip O. Livingston

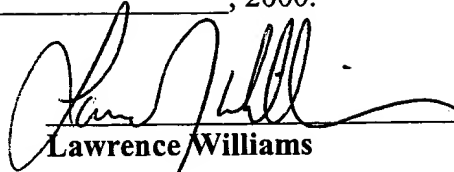
Scampbell Echols  
Witness  
510 E - 82nd  
NYC 10028  
Address

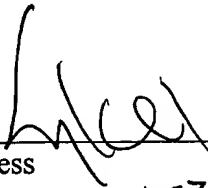
12/14/00  
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lylcel  
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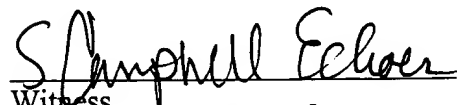
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Lawrence Williams

  
Witness  
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New York, NY 10024  
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11.13.00  
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